

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	<b>Docket Number</b> 01-1046	<b>Application Number</b> 10/042,371
	<b>Applicants</b> Andrew C. Gilbert (deceased)	
	<b>Filing Date</b> December 27, 2001	<b>Group Art Unit</b> 3691

### U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
/C.O./		3,976,840	08/24/1976	Cleveland, et al.			
		4,412,287	10/25/1983	Braddock, III			
		4,674,044	06/16/1987	Kalmus, et al.			
		4,823,265	04/18/1989	Nelson			
		5,101,353	03/31/1992	Lupien, et al.			
		5,126,936	06/30/1992	Champion, et al.			
		5,132,899	07/21/1992	Fox			
		5,161,103	11/03/1992	Kosaka, et al.			
		5,220,500	06/15/1993	Baird, et al.			
		5,267,148	11/30/1993	Kosaka, et al.			
		5,270,922	12/14/1993	Higgins			
		5,689,651	11/18/1997	Lozman			
		5,761,661	06/02/1998	Coussens, et al.			
		5,778,357	07/07/1998	Kolton, et al.			
		5,806,048	09/08/1998	Kiron, et al.			
		5,946,667	08/31/1999	Tull, Jr., et al.			
		5,950,176	09/07/1999	Keiser, et al.			
		6,088,685	07/11/2000	Kiron, et al.			
		6,601,044	07/29/2003	Wallman			
		6,947,901	09/20/2005	McCabe, et al.			
		2002/0046154	04/18/2002	Pritchard			
		2003/0004851	01/02/2003	Kiron, et al.			

### FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
/C.O./		WO 98/49639	11/05/1998	PCT			
/C.O./		WO 99/01983	01/14/1999	PCT			
/C.O./		WO 00/26745	05/11/2000	PCT			
<b>Examiner Signature</b>	/Chuks Onyezia/				<b>Date Considered</b>	02/27/2008	

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		<b>Docket Number</b> 01-1046		<b>Application Number</b> 10/042,371	
		<b>Applicants</b> Andrew C. Gilbert (deceased)			
		<b>Filing Date</b> December 27, 2001		<b>Group Art Unit</b> 3691	
<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published			
/C.O./		Copy of Office Action for United States Patent Application No. 09/927,628, entitled "Systems And Methods For Developing And Administering Investment Trusts," mail date August 8, 2006.			
		Copy of Office Action for United States Patent Application No. 09/927,628, entitled "Systems And Methods For Developing And Administering Investment Trusts," mail date May 1, 2007.			
		Copy of Office Action for United States Patent Application No. 09/927,628, entitled "Systems And Methods For Developing And Administering Investment Trusts," mail date November 16, 2007.			
		United States Department of the Treasury, Bureau of the Public Debt, at <a href="http://www.publicdebt.treas.gov">http://www.publicdebt.treas.gov</a> , printed August 25, 2004.			
		Actively Managed Exchange-Traded Funds, Investment Company Act Release No. 25258 (2001 SEC LEXIS 2363), November 8, 2001.			
		Merrill Lynch, Pierce, Fenner & Smith Incorporated, SEC No Action Letter (1999 SEC No-Act. LEXIS 737), pub. avail. September 3, 1999.			
		Indosuez Asset Management Asia Limited, SEC No Action Letter (1997 SEC No-Act. LEXIS 326), pub. avail. February 14, 1997.			
		Commonwealth Bank of Australia, SEC No Action Letter (1996 SEC No-Act. LEXIS 865), pub. avail. September 23, 1996.			
		Robertson, Stephens & Company, SEC No Action Letter (1993 SEC No-Act. LEXIS 435), pub. avail. March 13, 1993.			
		CRT Government Securities, Ltd., SEC No Action Letter (1992 SEC No-Act. LEXIS 844), pub. avail. August 4, 1992.			
		Bear, Stearns & Co., Inc., SEC No Action Letter (1992 SEC No-Act. LEXIS 81), pub. avail. January 28, 1992.			
		Merrill Lynch, Pierce, Fenner & Smith, Inc., SEC No Action Letter (1990 SEC No-Act. LEXIS 1136), pub. avail. September 26, 1990.			
		Financial Security Assurance Inc., SEC No Action Letter (1988 SEC No-Act. LEXIS 456), pub. avail. March 30, 1988.			
		Central Utah Rural Impact Capital Corp., SEC No Action Letter (1980 SEC No-Act. LEXIS 3589), pub. avail. August 29, 1980.			
		Standard & Poor's Depository Receipts® ("SPDRs")®. SPDR Trust, Series 1, A Unit Investment Trust, prospectus dated April 25, 1996.			
		Jinny St. Goar, "Weaving WEBS and Baskets," from the Internet at <a href="http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html">http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html</a> , printed on 8/2/00.			
		John Downes & Jordan Elliot Goodman, <u>Dictionary of Finance and Investment Terms</u> , 297-298, 301 (5th ed. 1998).			
Examiner Signature	/Chuks Onyedia/			Date Considered	02/27/2008